



Department of Defense
DIRECTIVE

AD-A272 166



March 22, 1991
NUMBER 5015.2

DA&M

SUBJECT: Records Management Program

- References:**
- (a) DoD Directive 5015.2, subject as above, September 17, 1980 (hereby canceled)
 - (b) Chapters 29, 31, 33, and 35 of title 44, United States Code
 - (c) Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management," current edition
 - (d) Title 41, Code of Federal Regulations, Chapter 201, "Federal Information Resources Management Regulation," current edition
 - (e) through (i), see enclosure 1

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a) to update policy and responsibilities for the life cycle of records from their creation, through their maintenance and use, to their disposition.

B. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense (OSD); the Military Departments; the Chairman of the Joint Chiefs of Staff and the Joint Staff; the Unified and Specified Commands; the Defense Agencies; and Military Assistance Advisory Groups (hereafter referred to collectively as "the DoD Components").

C. DEFINITIONS

1. Records. All books, papers, maps, photographs, machine-readable materials, or other documentary materials (regardless of physical form or characteristics) made or received by any Agency of the U.S. Government under Federal laws, or in connection with the transaction of public business, and preserved or appropriate for preservation by an Agency, or its legitimate successor, as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government. Not included are library and museum material made or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and processed documents.

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2. Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involving information requirements, records creation, records maintenance and use, records preservation, and records disposition.

D. POLICY

It is DoD policy to limit the creation of automated and manual records to those essential for the efficient conduct of official business, and to ensure that DoD records are maintained and managed by the DoD Components in compliance with Chapter 31 of 44 U.S.C. (reference (b)), 36 CFR (reference (c)), and 41 CFR (reference (d)) that prescribe the specific program elements to be implemented. Specific policies and procedures of records management relating to emergency operations are in DoD Directive 3020.26 (reference (e)). Title 41, CFR (reference (d)), and DoD Instruction 5000.21 (reference (f)) prescribe policies for the control and management of information requirements and forms.

E. RESPONSIBILITIES

1. The Director of Administration and Management, Office of the Secretary of Defense, shall:

a. Issue guidance regarding:

(1) The policy necessary for the establishment and maintenance of an active and continuing Records Management Program for the Department of Defense under 44 U.S.C 3102, 36 CFR, and 41 CFR (references (b) through (d)).

(2) Compliance with references (b) through (d) applicable to the creation, maintenance, use, preservation, and disposal of automated and manual records.

b. Cooperate with the Archivist of the United States in matters of mutual interest about the Records Management Program established by Chapters 29 and 31 of 44 U.S.C.

c. Monitor records management policies and procedures that have DoD-wide implications, and resolve problems that may have an impact on more than one DoD Component.

d. Encourage interchange of information within and among the DoD Components and other Federal Agencies on records management concepts, programs, systems, and procedures.

2. The Head of each DoD Component shall:

a. Establish and maintain a central Records Management Program at an organizational level of sufficient authority to ensure that the objectives and policies in this Directive and 44 U.S.C. (reference (b)) are effectively implemented.

b. Designate an individual to administer the Records Management Program and provide essential staffing by assigning qualified personnel to comply with this Directive, Subchapter B of Chapter XII of 36 CFR, and Chapter 201 of 41 CFR (references (c) and (d)).

c. Provide effective controls over automated and manual records from their creation to their final disposition, with particular emphasis on eliminating unnecessary paperwork.

d. Ensure that adequate records are:

(1) Created to document the organization, functions, policies, decisions, procedures, and essential transactions of the Department of Defense.

(2) Designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by DoD activities.

e. Direct the prompt disposal of records having temporary value and the timely retirement of permanent records under 44 U.S.C. 3102 (reference (b)).

f. Provide for continuing review of new developments in the field of records technology and systems for their possible application to the DoD Components' record systems.

g. Caution all officials not to alienate or destroy records in the custody of an Agency, except as allowed under 44 U.S.C. (reference (b)), and ensure that all employees are aware of their legal responsibility to inform those officials of any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.

h. Ensure that military members and civilian employees are informed of the requirements for identifying personal papers and maintaining them separately from official records, in compliance with Part 1222.20(d) of 36 CFR (reference (c)).

i. Conduct periodic evaluations of the Components' Records Management Program to ensure compliance with this Directive and Part 1220.54 of 36 CFR (reference (c)).

j. Upon request, provide the DA&M, OSD, a copy of any report that is required to be submitted to the National Archives and Records Administration, the General Services Administration, the Office of Management and Budget, or the Congress.

k. Advise the DA&M, OSD, of any matters about records management that may have DoD-wide implications.

l. Cooperate with the Archivist of the United States in applying standards, procedures, and techniques designed to improve the management of automated and manual records, promote the maintenance and security of records considered appropriate for preservation, and facilitate the segregation and disposal of records of temporary value.

m. Ensure that all personal data within any records system is safeguarded in accordance with DoD 5400.11-R (reference (g)), and that reference (g) is complied with when a new system of records containing personal data is created, or any existing system is amended.

n. In accordance with Part 1234 of 36 CFR and Chapter 201 of 41 CFR (references (c) and (d)), establish a program for the management of electronic records.

o. Establish a micrographics management program in accordance with Part 1230 of 36 CFR and Subpart 201.45 of 41 CFR (references (c) and (d)).

3. The Secretaries of the Military Departments, in addition to the responsibilities in subsection E.2., above, shall:

a. Provide guidance to the Unified and Specified Commands for a Records Management Program in their area of responsibility as outlined in DoD Directive 5100.3 (reference (h)).

b. Conduct periodic reviews of such programs. The review of these programs shall not be at the option of the Unified and Specified Commanders or the other activities involved.

4. The Commanders of the Unified and Specified Commands shall implement a Records Management Program in the Military Assistance Advisory Groups, Security Assistance Offices, Military Service Representatives, Liaison Offices, or other similar defense and joint activities in foreign countries, as provided in DoD Directive 5132.3 (reference (i)).

F. EFFECTIVE DATE

This Directive is effective immediately.

Donald J. Atwood
Deputy Secretary of Defense

Enclosure References

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REFERENCES, continued

- (e) DoD Directive 3020.26, "Continuity of Operations Policies and Planning," October 24, 1985
- (f) DoD Instruction 5000.21, "Forms Management Program," December 5, 1973
- (g) DoD 5400.11-R, "Department of Defense Privacy Program," August 31, 1983, authorized by DoD Directive 5400.11, June 9, 1982
- (h) DoD Directive 5100.3, "Support of the Headquarters of Unified, Specified, and Subordinate Joint Commands," November 1, 1988
- (i) DoD Directive 5132.3, "DoD Policy and Responsibilities Relating to Security Assistance," March 10, 1981

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DEPARTMENT OF DEFENSE

DIRECTIVES SYSTEM TRANSMITTAL

NUMBER	DATE	DISTRIBUTION
5015.2, Change 1	April 3, 1992	5000 Series

ATTACHMENTS

None

INSTRUCTIONS FOR RECIPIENTS

The following pen changes to DoD Directive 5015.2, "Records Management Program," March 22, 1991, are authorized:

PEN CHANGES

Page 2

Section D. line 10. Change "5000.21" to "7750.7"

Page 4

Paragraph E.2.o.

Line 2. Delete "and Subpart 201.45 of"

Line 3. Delete "41 CFR", change "references" to "reference", and delete "and (d)"

Page 1-1

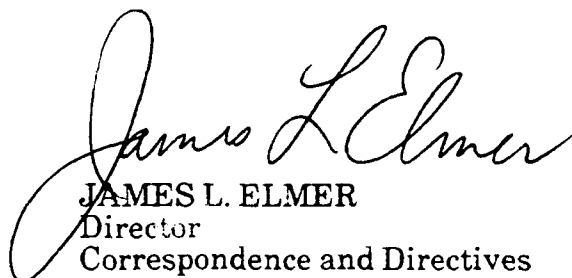
Reference (f)

Line 1. Change "5000.21" to "7750.7" After the first quotation mark, insert "DoD"

Line 2. Change "December 5, 1973" to "May 31, 1990"

EFFECTIVE DATE

The above changes are effective immediately.


JAMES L. ELMER
Director
Correspondence and Directives

WHEN PRESCRIBED ACTION HAS BEEN TAKEN, THIS TRANSMITTAL SHOULD BE FILED WITH THE BASIC DOCUMENT